



PATENT
5181-63600/P4992

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/659,915
Filed: September 11, 2000
Inventors:
Thomas E. Saulpaugh
Gregory L. Slaughter
Eric Pouyoul
Michael J. Duigou
Title: Automatic Lease Renewal
with Message Gates in a
Distributed Computing
Environment

§ Examiner: Fisher, Michael J.
§ Group/Art Unit: 3629
§ Atty. Dkt. No: 5181-63600
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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

Robert C. Kowert

Name of Registered Representative

[Signature] March 9, 2005
Signature Date

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant requests consideration of ☒ the references listed on the attached Form PTO-1449 and/or ☐ the additional information identified below in paragraph 3.

- ☒ A copy of each required reference listed on the Form PTO-1449 is enclosed.
- ☐ The references listed on the Form PTO-1449 were previously cited in application serial no. _____ to which the captioned application is seeking priority under 35 U.S.C. §120; therefore, a copy of each reference is not enclosed.

1. This Information Disclosure Statement is submitted:

- a. ☐ within 3 months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
☐ within 3 months of the date of entry of the national stage as set forth in § 1.491 in an International application;
☐ before the mailing date of a first Office Action on the merits; or

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- ☐ before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- b. ☒ after the events of above paragraph 1a and prior to the mailing date of a final Office Action or Notice of Allowance, and thus: ☐ the certification of paragraph 2 below is provided, or ☒ a fee of \$180.00 is authorized below.
- c. ☐ after the mailing date of a final Office Action or a Notice of Allowance and prior to payment of the issue fee, and thus: the certification of paragraph 2 below is provided and a fee of \$180.00 is enclosed.
2. It is hereby certified:
- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Statement; or
- ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56 (c) more than three (3) months prior to the filing of the Statement.
- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty (30) days prior to the filing of the information disclosure statement;
3. ☐ Consideration of the following additional information (including any co-pending or abandoned U.S. applications, prior uses and/or sales, etc.) is requested:
4. For each non-English language reference listed on the attached Form PTO-1449:
- ☐ reference is made to an English language translation submitted herewith, and/or
- ☐ reference is made to a foreign patent office search report (in the English language) submitted herewith, and/or
- ☐ reference is made to an English language translation of a foreign patent office search report submitted herewith, and/or
- ☐ reference is made to the concise explanation contained in the specification of the present application at page(s) _____, and/or
- ☐ reference is made to the concise explanation set forth below:
5. ☐ Applicant also offers the following comments for the Examiner's consideration:
6. ☐ Also enclosed is a copy of a foreign search report citing these references.

7. ☐ The listed documents were brought to the attention of the Applicant(s) after payment of the issue fee in the captioned case. The documents were cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. Applicant(s) request this Information Disclosure Statement and attached Form PTO-1449 be placed in the file of the captioned application.
8. ☐ Applicant(s) requests that the Information Disclosure Statement and attached Form PTO-1449 and references, which are being filed before the grant of the patent and pursuant to 37 C.F.R. § 1.97(i), be placed in the file of the captioned application.

The Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account No. 501505/5181-63600/RCK.

Respectfully submitted,



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Date: March 9, 2005

Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5181-63600	SERIAL NO. 09/659,915
	APPLICANT: Saulpaugh et al.	GROUP: 3629
	FILING DATE: September 11, 2000	

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATIO N YES/NO
	E1	6,157,960	12/5/00	Kaminsky et al.			
	E2	5,956,509	9/21/99	Kevner			
	E3	6,134,603	10/17/00	Jones et al.			
	E4	6,408,342	6/18/02	Moore et al.			
	E5	6,104,716	8/15/00	Crichton et al.			
	E6	6,016,516	1/18/00	Horikiri			
	E7	6,654,793	11/25/03	Wollrath et al.			
	E8	6,263,379	7/17/01	Atkinson et al.			
	E9	6,212,578	4/3/01	Racicot et al.			
	E10	5,999,988	12/7/99	Pelegri-Llopart et al.			
	E11	2002-0059212	5/16/02	Takagi			
	E12	6,282,568	8/28/01	Sondur et al.			
	E13	5,671,279	9/23/97	Elgamal			
	E14	6,185,611	2/6/01	Waldo et al.			
	E15	5,548,726	8/20/96	Pettrus			
	E16	6,216,158	4/10/01	Luo et al.			

FOREIGN PATENT DOCUMENTS

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	E17	Eric Jul, "Object-Mobility in a Distributed Object-Oriented System," A dissertation submitted in partial fulfillment of the requirements for the degree of Doctor of Philosophy, University of Washington, 1989					
	E18	Andrew P. Black, "The Eden Programming Language," Technical Report 85-09-01, September , 1985, (19 pages)					
	E19	Jul et al., " Fine-Grained Mobility in the Emerald System,' ACM Transactions on Computer Systems, Vol. 6, No.1, February 1988, (pages 109-133)					
	E20	Beogle et al., "Transparent Sharing of Java TM Applets: A Replicated Approach", IIST 97 Banff, 1997 (pages 55-64)					

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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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	E21	Guy T. Almes, "The Evolution of the Eden Invocation Mechanism" Technical Report 83-01-03, January 19, 1983, (15 pages)	
	E22	Andrew P. Black, "The Eden Project: Overview and Experiences," EUUG, September 22-25, 1986, (pages 177-189)	
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	E24	Wobbler et al., "Authentication in the Taos Operating System," SIGOPS '93, December 1993, (pages 256-269)	
	E25	Ken Arnold, "The Jini [™] Architecture: Dynamic Services in a Flexible Network," ACM 1-58113-109-7/99, June 1999, (7 pages)	
	E26	Israel et al., "Authentication in Office Systems Internetworks," ACM Transactions on Office System Information Systems, Vol. 1, No. 3, July 1983 (pages 193-210)	
	E27	Scroeder et al., "Experience with Grapevine: The Growth of a Distributed System", ACM Transactions on Computer System, Vol. 2, No. 1, February 1984, (pages 3-23)	
	E28	Tanenbaum et al., "Distributed Operating Systems," Computer Surveys, Vol. 17, No. 4, December 1985, (pages 419-470)	
	E29	Jennings et al., "Using Intelligent Agents to Manage Business Processes," (16 pages)	
	E30	Douglas Hodges, "Managing Object Lifetime in OLE," August 25, 1994, www.scit.vlv.ac.uk (41 pages)	
	E31	"Java [™] Remote Method Innovation Specification," Revision 1.4. JDK 1.1 FCS. February 10, 1997, (page 1-90)	
	E32	Felix Samson Hsu, "Reimplementing Remote Procedure Calls," Thesis – University of Washington, March 22, 1985, (pages 1-106)	
	E33	Ciancarini et al., "Coordinating Distributed Applets with Shade/Java," Dipartimento di Scienze dell'Informazione, University of Bologna – Italy, 1998 ACM 0-89791-969-6/98/0002, (pages 130-138)	
	E34	Lampson et al., "Authentication in Distributed Systems: Theory and Practice," ACM Transactions on Computer Systems, Vol. 10, No. 4, November 1992, (pages 265-310)	
	E35	Koshizuka, et al., "Window Real Objects: A Distributed Shared Memory for Distributed Implementation of GUI Applications," UIST' 93, November 3-5, 1993 (pages 237-247)	
	E36	Gerhard Steinke, "Design Aspects of Access Control in a knowledge Base System," Computers & Security, 10. 1991, (pages 612-625)	
	E37	Donal O'Mahony, "Security Considerations in a network Management Environment" IEEE Network, May/June 1994, (pages 12-17)	

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Form PTO-1449 (modified)

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(Use several sheets if necessary)

ATTY. DKT. NO. 5181-63600

APPLICANT: Saulpaugh et al.

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SERIAL NO. 09/659,915

GROUP: 2152

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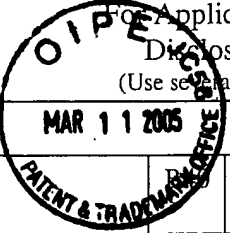
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B21	Carriero, et al., "Distributed Data Structures in Linda," Yale Research Report YALEU/DCS/RR-438, November 1985.
B22	Chung, et al., "A Tiny' Pascal Compiler: Part 1: The P-Code Interpreter," BYTE Publications, Inc., September 1978.
B23	Chung, et al., "A Tiny' Pascal Compiler: Part 2: The P-Compiler," BYTE Publications, Inc., October 1978.
B24	Dave, et al., "Proxies, Application Interface, And Distributed Systems," Proceedings International Workshop On Object Orientation In Operating Systems, pages 212-220, September 24, 1992.
B25	Deux, et al., "The O2 System," Communications Of The Association For Computing Machinery, Col. 34, No. 10, pages 34-48, October 1, 1991.
B26	Dijkstra, "Self-stabilizing Systems in Spite of Distributed Control," Communications of the ACM, Vol 17, No. 11, pp. 643-644, November 1974.
B27	Dolev, et al., "On the Minimal Synchronism Needed for Distributed Consensus," Journal of the ACM, Vol. 34, NO. 1, pp. 77-97, January 1987.
B28	Dollimore, et al., "The design of a System for Distributing Shared Objects," The Computer Journal, No. 6, Cambridge, GB, December 1991.
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B30	Drexler, et al., "Incentive Engineering for Computational Resource Management," The Ecology of Computation, Elsevier Science Publishers B.V., pp. 231-266, 1988.
B31	Gelernter, et al., "Parallel Programming in Linda," Yale University, pp. 1-21, January 1995.
B32	Droms, "RFC 1541 Dynamic Host Configuration Protocol," < http://www.cis.ohio-state.edu.htbin/rfc/rfc1541.html >, pages 1-33, October 1993.
B33	Emms, "A Definition Of AN Access Control Systems Language," Computer Standards And Interfaces, Vol. 6, No. 4, pp. 443-454, January 1, 1997.
B34	Fleisch, et al., "High Performance Distributed Objects Using Distributed Shared Memory & Remote Method Invocation," System Sciences, 1998, Proceedings of the 31 st Hawaii Internat'l. Conference, Jan. 6-9, 1998, pp. 574-578.
B35	Gelernter, "Generative Communication in Linda," ACM Transactions on Programming Languages and Systems, Vol. 7, No. 1, pp. 80-112, January 1985.
B36	Gottlob, et al., "Extending Object-Oriented Systems with Roles," ACM Transactions On Information Systems, Vol. 14, NO. 3, pp. 268-296, July 1996.
B37	Gray, et al. "Leases: An Efficient Fault-Tolerant Mechanism for Distributed File Cache Consistency," ACM, pp. 202-210, 1989.
B38	Guth, "JavaOne: Sun to Expand Java Distriubted Computing Effor," < http://www.sunworld.com/swol-02-1998/swol-02-sunspots.html >, XP-002109935, p.1, February 20, 1998.
B39	Guyennet, et al., "A New Consistency Protocol Implemented in the CaliF System," IEEE, 1094-7256/97, pp. 82-87, 1997.

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 OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)			
		Guyennet, et al., "Distributed Shared Memory Layer for Cooperative Work Applications," IEEE, 0742-1303/97, pp. 72-78, 1997.	
	B41	Hamilton, et al., "Subcontract: A Flexible Base for Distributed Programming," Proceedings of 14 th Symposium of Operating System Principles, December 1993.	
	B42	Hamilton, "Java and the Shift to Net-Centric Computing," Computer, pp. 31-39, August 1996.	
	B43	Harris, et al., "Proposal for a General Java Proxy Class for Distributed Systems and Other Uses," Netscape Communications Corp., June 25, 1997.	
	B44	Hartman, et al., "Liquid Software: A New Paradigm For Networked Systems," Technical Report 96-11, Dept. of Comp. Sci., Univ. of Arizona, June 1996.	
	B45	Howard, et al., "Scale and Performance in a Distributed File System," ACM Transactions on Computer Systems, Vol. 6, No. 1, pp. 51-81, February 1988.	
	B46	Pier, "A Retrospective on the Dorando, A High-Performance Personal Computer," Xerox Corporation, August 1983.	
	B47	Pinakis, "Using Linda as the Basis of an Operating System Microkernel," University of Western Australia, Dept. of Computer Science, pp. 1-165, August 1993.	
	B48	Riggs, et al., "Picking State in the Java TM System," USENIX, Association Conference on Object-Oriented Technologies and Systems, CP-002112719, pp. 241-250, June 17-21, 1996.	
	B49	Rosenberry, et al., "Understanding DCE," Chapters 1-3, 6, 1992.	
	B50	Sharrott, et al., "ObjectMap: Integrated High Performance Resources into a Distributed Object-oriented Environment," ICODP, 1995.	
	B51	Stevenson, "Token-Based Consistency of Replicated Servers," IEEE, CH2686-4/89/0000/0179, pp. 179-183, 1989.	
	B52	Thompson, "Regular Expression Search Algorithm," Communications of the ACM, Vol. II, No. 6, p. 149 et seq., June 1968.	
	B53	Venners, "Jini Technology, Out of the Box," JAVAWORLD, 'Online!', pp. 1-4, December 1998.	
	B54	Waldo, et al., "Events in An RPC Based Distributed System," Proceedings Of The 1995 USENIX Technical Conference, Proceedings USENIX Winter 1995 Technical Conference, New Orleans, LA, USA, 16-20, pages 131-142, January 1995.	
	B55	Wilson, et al., "Design of the Opportunistic Garbage Collector," Proceedings of the Object Oriented Programming Systems Languages And Applications Conference, New Orleans, Vol. 24, No. 10, October 1989.	
	B56	Wollrath, et al., "A Distributed Object Model for theJaca TM System," USENIX Association, Conference on Object-Oriented Technologies and Systems, June 17-21, 1996.	
	B57	Wu, "A Type System For An Object-Oriented Database Systems," Proceedings of the International Computer Software and Applications Conference (COMPSAC), Tokyo, Japan, pp. 333-338, Sept. 11-13, 1991.	
	B58	Yemini, et al., "Towards Programmable Networks," IFIP/IEEE International Workshop on Distributed Systems: Operations and Management, L'Aquila, Italy, October 1996.	
	B59	Yin, et al., "Using Leases to Support Server Driven Consistency in Large-Scale Systems," Computer Services Department, University of Texas at Austin, p. 285-294, May 26-28, 1998.	

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B60	Yin, et al., "Volume Leases for Consistency in Large-Scale Systems," IEEE Transactions on Knowledge & Data Engineering, Vol. 11, No. 4, pp. 563-576, July/August 1999.		
B61	Mitchell, et al., "An Overview of the Spring System," February 1994.		
B62	Mitchell, et al., "Mesa Language Manual," Xerox Corporation, Palo Alto Research Center, 1978.		
B63	McDaniel, "An Analysis of a Mesa Instruction Set," Xerox Corporation, May 1982.		
B64	McGrath, "Discovery and its Discontents: Discovery Protocols for Ubiquitous Computing," Presented at Center for Excellence in Space Data and Information Science, NASA Goddard Space Flight Center, April 5, 2000.		
B65	Mummert, et al., "Long Term Distributed File Reference Tracing: Implementation and Experience," Carnegie Mellon University School of Computer Science, pp. 1-28, November 1994.		
B66	Orfali, et al., "The Essential Distributed Objects Survival Guide," Chapter 11: Corba Commercial ORBs, pages 203-215, John Wiley & Sons, Inc., 1996.		
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B68	Pier, "A Retrospective on the Dorando, A High-Performance Personal Computer," IEEE Conference Proceedings, The 10 th Annual International Symposium on Computer Architecture," 1993.		
B69	Hunt, "IDF: A Graphical Data Flow Programming Language for Image Processing and Computer Vision," Proceedings of the International Conference on Systems, Man, and Cybernetics, pp. 351-360, Los Angeles, Nov. 4-7, 1990.		
B70	IBM TM Technical Disclosure Bulletin, "Object Location Algorithm," Vol. 36, No. 09B, pp. 257-258, September 1993.		
B71	IBM, "Chapter 6 - Distributed SOM (DSOM)," SOMobjects Developer Toolkit Users Guide, Version 2.1, pages 6-1-6-90, October 1994.		
B72	Anonymous, "Change-Notification Service for Shared Filed," IBM Technical Disclosure Bulletin, Vol. 36, No. 8, pages 77-82, XP002109435 New York, US, November 1973.		
B73	IBM TM Technical Disclosure Bulletin, "Retrieval of Qualified Variables Using Extendible Hashing," Vol. 36, No. 12, pp. 301-303, December 1993.		
B74	Anonymous, "Resource Preemption for Priority Scheduling," IBM TECHNICAL DISCLOSURE BULLETIN, Vol. 16, No. 6, page 1931, XP002109435 New York, US, November 1973.		
B75	IBM TM Technical Disclosure Bulletin, "Local Network Monitoring to Populate Access Agent Directory," Vol. 36, No. 09A, pp. 403*405, September 1993.		
B76	MUX-Elektronik, Java 1.1 Interactive Course, www.lls.se/~mux/javaic.html, 1995.		
B77	Jones, et al., "Garbage Collection: Algorithms for Automatic Dynamic Memory Management," pages 165-175, John Wiley & Sons, 1996.		
B78	Kambhatla, et al., "Recovery with Limited Replay: Fault-Tolerant Processes in Linda," Oregon Graduate Institute, Technical Report CSIE 90-019, pp. 1-16, September 1990.		
B79	Kay, et al., "An Overview of the Raleigh Object-Oriented Database System," ICL Technical Journal, Vol. 7, No. 4, pp. 780-798, Oxford, GB, November 1991.		

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	D1	5,778,187	7/7/98	Monteiro, et al.			
	D2	5,832,529	11/3/98	Wollrath, et al.			
	D3	6,016,500	1/18/00	Waldo, et al.			

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	C1	11-45187	10/10/97	JP			
	C2	2 253 079	8/26/92	GB			
	C3	2 262 825	6/30/93	GB			
	C4	2 305 087	3/26/97	GB			
	C5	300 516	1/25/89	EP			
	C6	351 536	1/24/90	EP			
	C7	384 339	8/29/90	EP			
	C8	472 874	3/4/92	EP			
	C9	474 340	3/11/92	EP			
	C10	497 022	8/5/92	EP			
	C11	555 997	8/18/93	EP			
	C12	565 849	10/20/93	EP			
	C13	569 195	11/10/93	EP			
	C14	697 655	2/21/96	EP			
	C15	660 231	6/28/95	EP			
	C16	651 328	5/3/95	EP			
	C17	625 750	11/23/94	EP			
	C18	718 761	6/26/96	EP			
	C19	767 432	4/9/97	EP			
	C20	778 520	6/11/97	EP			
	C21	794 493	9/10/97	EP			

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	C22	803 810	10/29/97	EP			
	C23	803 811	10/29/97	EP			
	C24	805 393	11/5/97	EP			
	C25	810 524	12/3/97	EP			
	C26	817 020	1/7/98	EP			
	C27	817 022	1/7/98	EP			
	C28	817 025	1/7/98	EP			
	C29	836 140	4/15/98	EP			
	C30	92/07335	4/30/92	WO			
	C31	92/09948	6/11/92	WO			
	C32	93/25962	12/23/93	WO			
	C33	94/03855	2/17/94	WO			
	C34	96/10787	4/11/96	WO			
	C35	96/03692	2/8/96	WO			
	C36	96/18947	6/20/96	WO			
	C37	96/24099	8/8/96	WO			
	C38	98/02814	1/22/98	WO			
	C39	98/04971	2/5/98	WO			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

C40	Jaworski, "Java 1.1 Developer's Guide, 2 nd Edition," Sams.net, 1997.
C41	Coulouris, et al., "Distributed Systems Concepts and Designs," Second Edition, Addison-Wesley, 1994.
C42	Mullender, "Distributed Systems," Second Edition, Addison-Wesley, 1993.
C43	Lindholm, et al., "The Java TM Virtual Machine Specification," Addison Wesley, 1996.
D4	"SOAP: Simple Object Access Protocol," msdn online Web Workshop, Microsoft, April 26, 2000, http://msdn.Microsoft.com/xml/general/soapspec.asp , 34 pages.
D4	Rob Guth, "Sun tries on JacaSpaces for Distributed OS," August 1997, Vol. 19, Issue 34, 2 pages.
D6	Microsoft, "Microsoft.NET: Realizing the Next Generation Internet," A Microsoft White Paper, June 2000, 8 pages.

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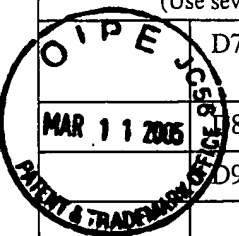
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D7

K. F. Eustice, et al., "A Universal Information Appliance," IBM Systems Journal, Vol. 38, No. 4, 1999, Pp. 575-601.

D8

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EXAMINER:

DATE CONSIDERED:

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Saulpaugh et al

Serial No.: 09/659,915

Filing Date: 09/11/00

Title: AUTOMATIC LEASE RENEWAL WITH MESSAGE GATES IN A
DISTRIBUTED COMPUTING ENVIRONMENT

Atty. Docket No. 5181-63600; P4992

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